

**RECORD ACCESS PROCEDURES:**

Individuals seeking notification and access to any record contained in this system of records, or seeking to contest its content, may inquire in accordance with instructions pertaining to individual Treasury components appearing at 31 CFR part 1, subpart C, appendices A–M.

**CONTESTING RECORD PROCEDURES:**

See "Notification procedure" above.

**RECORD SOURCE CATEGORIES:**

Telephone assignment records, call detail listings, results of administrative inquiries to individual employees, contractors or offices relating to assignment of responsibility for placement of specific long distance or local calls.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**BILLING CODE:** 4810–25–F

Bureau of Alcohol, Tobacco, and Firearms

**Treasury/ATF .001**

**SYSTEM NAME:**

Administrative Record System—Treasury/ATF.

**SYSTEM LOCATION:**

Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226. Components of this record system are geographically dispersed throughout the Bureau's field offices. A list of field offices is available by writing to the Chief, Disclosure Branch, Room 8290, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(1) Present employees of the Bureau of ATF. (2) Former employees of the Bureau of ATF. (3) Claimants against the Bureau of ATF.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

(1) Accident Report—non-vehicle; (2) Accident Report-vehicle; (3) Fatality reports. (4) Injury reports; (5) Motor vehicle operator's records; (6) Chief Counsel and District Counsel memoranda and opinions.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

(1) Federal Claims Collection Act. (2) Federal Property and Administration Services Act of 1949, as amended. (3) Federal Tort Claims Act. (4) Military Personnel and Civilian Claim Act. (5) Occupational Safety and Health Act of 1970. (6) Small Claims Act. (8) 5 U.S.C. 1302, 3301, 3302.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

A record in this system may be disclosed as a routine use to: (1) Employees of government agencies when required or authorized to be released by statute, regulations or Executive Order; (2) any third party, to the extent necessary, to collect relevant information from the third party, provided that the information is needed by the Bureau to render a decision in regard to an administrative matter; (3) appropriate Federal, state, local or foreign agencies responsible for enforcing administrative, civil or criminal laws; hiring or retention of an employee; issuance of a security clearance, license, contract, grant or other benefit; (4) a court, magistrate or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of or in preparation for civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (5) unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114; (6) a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (7) provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, DISPOSING OF RECORDS IN THE SYSTEM:****STORAGE:**

Active records stored in file folders in security filing cabinets. Inactive records stored in file folders at Federal Records Centers.

**RETRIEVABILITY:**

Records are retrievable by name of individual.

**SAFEGUARDS:**

Direct access restricted to personnel in Department of the Treasury in the performance of their duty. Transmitted to routine users on a "need to know" basis or where "a right to access" is established, and to others upon verification of the substance and propriety of the request. Stored in lockable metal file cabinets in rooms locked during non-duty hours.

**RETENTION AND DISPOSAL:**

Records are retained in accordance with General Records Schedules

Numbers 1 through 23 issued by the National Archives and Records Administration, and Bureau of Alcohol, Tobacco and Firearms records control schedules numbers 101 and 201 and disposed of by shredding or burning.

**SYSTEM MANAGER(S) AND ADDRESS:**

Chief, Administrative Program Division, Bureau of Alcohol, Tobacco, and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**NOTIFICATION PROCEDURE:**

Inquiries should be addressed to: Privacy Act Request, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226. Requests may be delivered personally to Room 8290, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**RECORD ACCESS PROCEDURES:**

Requests for access to records made by mail should be addressed to: Privacy Act Request, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

(1) Administrative records. (2) Claimants. (3) Doctors. (4) Employee records. (5) Fiscal records. (6) Former employees of the Bureau of ATF. (7) Former employers. (8) General Services Administration. (9) Individuals who have information relevant to claims. (10) Inspections records. (11) Internal Investigation reports. (12) Police reports. (13) Present employees of the Bureau of ATF. (14) Supervisors. (15) Witnesses. (16) Insurance companies.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**Treasury/ATF .002**

**SYSTEM NAME:**

Correspondence Record System—Treasury/ATF.

**SYSTEM LOCATION:**

Bureau of Alcohol, Tobacco, and Firearms, 650 Massachusetts Avenue NW, Washington, DC 20226. Components of this record system are geographically dispersed throughout the Bureau's field offices. A list of field offices is available by writing to the Chief, Disclosure Branch, Room 8290, 650 Massachusetts Avenue, NW Washington, DC 20226.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(1) Persons who correspond with the Bureau requesting information relating to Bureau personnel. (2) Persons who correspond with the Bureau requesting information relating to Bureau activities. (3) Persons who correspond with the Bureau requesting rulings, interpretations, or technical and scientific matters of a general nature. (4) Persons who correspond with others and whose correspondence is referred to ATF for response. (5) Persons referred to in correspondence with the Bureau. (6) Authors and publishers of technical and scientific matters relating to Bureau activities.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Correspondence with individuals who contact the Bureau requesting information relating to Bureau personnel and/or activities, Chief Counsel and Regional Counsel memoranda and opinions.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301, Executive Order 11222.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

A record in this system may be disclosed as a routine use to: (1) Employees of government agencies when required or authorized to be released by statute, regulations or Executive Order; (2) any third party, to the extent necessary, to collect relevant information from the third party, provided that the information is needed by the Bureau to render a decision in regard to an administrative, fiscal or personnel matter; (3) appropriate Federal, state, local or foreign agencies responsible for enforcing administrative, civil or criminal laws; hiring or retention of an employee; issuance of a security clearance, license, contract, grant or other benefit; (4) a court, magistrate or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of or in preparation for civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (5) a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (6) provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, DISPOSING OF RECORDS IN THE SYSTEM:****STORAGE:**

Active records stored in file folders in security filing cabinets. Inactive records stored in file folders at Federal Records Centers.

**RETRIEVABILITY:**

Records are retrieved by name, subject matter and date of correspondence.

**SAFEGUARDS:**

Transmitted to routine users on a "need to know" basis. Stored in lockable file cabinets in rooms locked during non-duty hours.

**RETENTION AND DISPOSAL:**

Records are retained in accordance with General Records Schedules numbers 1 through 20 issued by the National Archives and Records Administration, and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding or burning.

**SYSTEM MANAGER(S) AND ADDRESS:**

Executive Assistant—Liaison and Public Information, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**NOTIFICATION PROCEDURE:**

Inquiries should be addressed to: Privacy Act Request, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226. Requests may be delivered personally to Room 8290, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**RECORD ACCESS PROCEDURES:**

Requests for access to records made by mail should be addressed to: Privacy Act Request, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226. Requests may be delivered personally to room 8290, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226. Appeals may be delivered personally to room 8290, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

Persons who correspond with the Bureau on general, technical or scientific matters.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**Treasury/ATF .003****SYSTEM NAME:**

Criminal Investigation Report System—Treasury/ATF.

**SYSTEM LOCATION:**

Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226. Components of this record system are geographically dispersed throughout Bureau of Alcohol, Tobacco and Firearms' field offices. A list of field offices is available by writing to the Chief, Disclosure Branch, Room 8290, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(1) Criminal offenders or alleged criminal offenders acting alone or in concert with other individuals and suspects who have been or are under investigation for a violation or suspected violation of laws enforced by the Bureau. (2) Criminal offenders or alleged criminal offenders acting alone or in concert with individuals who have been referred to the Bureau of Alcohol, Tobacco and Firearms by other law enforcement agencies, governmental units and the general public. (3) Informants. (4) Persons who come to the attention of the Bureau in the conduct of criminal investigations. (5) Persons who have been convicted of a crime punishable by imprisonment for a term exceeding one year and who have applied for relief from disabilities under Federal law with respect to the acquisition, receipt, transfer, shipment, or possession of firearms and explosives and whose disability was incurred by reason of such conviction. (6) Victims of crimes. (7) Witnesses.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

(a) Records containing information compiled for the purpose of identifying individual criminal offenders and alleged offenders and consisting only of identifying data and notations of arrest, the nature and disposition of criminal charges, sentencing, confinement, release, and parole and probation status; (b) Records containing information compiled for the purpose of a criminal investigation, including reports of informants and investigators, and associated with an identifiable individual; (c) Records containing reports identifiable to an individual compiled at various stages of the process of enforcement of criminal laws from arrest or indictment through

release from supervision; (d) Records compiled and maintained by the Bureau as generally described in (a), (b), and (c) above including the following: (1) Abandoned property reports. (2) ATF Criminal Investigation Reports. (3) ATF referrals to foreign, Federal, state, and local law enforcement agencies. (4) Chief and Regional Counsel opinions. (5) Contemporaneous investigative notes. (6) Criminal investigatory correspondence from and to foreign, Federal, state and local law enforcement agencies. (7) Criminal intelligence information on individuals suspected to be violating ATF laws and regulations. (8) Documentary proof of defendant's criminal record, identity, or lack of registration of N.F.A. (as amended) firearm(s). (9) FBI Criminal Record Reports. (10) Fingerprints and palmprints. (11) Fugitive arrest warrants. (12) Handwriting exemplars. (13) Index cards, violation and reputation. (14) Illicit liquor and raw material surveys. (15) Laboratory reports of evidence analysis. (16) Memoranda of expected testimony of witnesses. (17) Organized crime members violating or suspected of violating ATF laws. (18) Parole and pardon reports. (19) Personal histories (address, employment, social security number, financial background, physical description, etc.). (20) Photographs. (21) Purchase of evidence records. (22) Records of electronic surveillance by ATF. (23) Records received in response to summons and subpoenas. (24) Reliefs from disability. (25) Reports of interview with witnesses. (26) Search warrants and affidavits for search warrants. (27) Seized property reports. (28) Significant criminals, armed and dangerous, firearms, explosives and liquor. (29) Special agent's daily activity diary (accessible by date only). (30) State and local law enforcement criminal investigative reports. (31) Statements of defendants. (32) Statements of witnesses. (33) Summons and subpoenas issued pursuant to criminal investigations. (34) Voice prints. (35) Wagering tax suspected violators. (36) Warning and demand letters. (37) Criminal violation reports (a formal report compiling all or portions of the foregoing for prosecutive purposes).

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

(1) 26 U.S.C. Chapters 35 and 40; (2) 26 U.S.C. Chapters 51 and 52; (3) 26 U.S.C. Chapter 53, as amended; (4) 26 U.S.C. Chapters 61 through 80, as amended; (5) 27 U.S.C. Chapter 8, as amended (Federal Alcohol Administration Act); (6) 18 U.S.C. Chapter 40; (7) 18 U.S.C. Chapter 44; (8) 18 U.S.C. Chapter 59; (9) 18 U.S.C. App.

1201–1203 (Title VII of the Omnibus Crime Control and Safe Streets Act of 1968, as amended by Title III of the Gun Control Act of 1968); (10) 22 U.S.C. section 414, (Mutual Security Act of 1954, as amended); (11) 5 U.S.C. sections 901 and 903, 5 U.S.C. App. (Reorganization Plan of 1950), Treasury Order 221, 5 U.S.C. section 301.

**PURPOSE(S):**

The purpose of this system is to suppress traffic in illicit untaxed distilled spirits; to enforce the Federal laws relating to the illegal possession and use of firearms, destructive devices, explosives, explosive materials; and to assist Federal, state, local and foreign law enforcement agencies in reducing crime and violence.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

A record in this system may be disclosed as a routine use to: (1) Employees of other government agencies when required or authorized to be released by statute, regulations or Executive Order; (2) third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation; (3) appropriate Federal, state, local and foreign agencies for the purpose of enforcing and investigating administrative, civil or criminal laws relating to the hiring or retention of an employee; issuance of security clearance, license, contract, grant or other benefit; (4) a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of or in preparation for civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (5) INTERPOL and similar criminal intelligence gathering organizations for the purpose of identifying and suppressing the activities of international and national criminals and terrorists; (6) appropriate Federal, state, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (7) insurance companies making determinations regarding claims in cases that the Bureau has conducted or is conducting an arson investigation; (8) a congressional office in response to an inquiry of the individual to whom

the record pertains; (9) unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114; (10) provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Active records stored in file folders in security filing cabinets. Inactive records stored in file folders at Federal Records Centers. Records also stored on magnetic tape and disk at the National Tracing Center and at the Science and Technology Branch at Bureau Headquarters. Records are stored in on-line mass computer storage at Newington, Virginia (Treasury Enforcement Communications System (TECS)).

**RETRIEVABILITY:**

Records are retrievable by name, date of birth, social security number, unique identifier, investigation number, serial number of firearm, or a combination of any of these; plus date and geographical location of incident giving rise to investigation.

**SAFEGUARDS:**

Direct access restricted to personnel in Department of Treasury in the performance of their duty. Transmitted to routine users on a "need to know" basis and to others upon verification of the substance and propriety of the request. Stored in lockable file cabinets in rooms locked during non-duty hours.

**RETENTION AND DISPOSAL:**

Records are retained in accordance with General Records Schedules numbers 1 through 23 issued by the National Archives and Records Administration, and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding or burning. Records on tape or on-line mass storage are disposed of by degaussing.

**SYSTEM MANAGER(S) AND ADDRESS:**

Associate Director (Enforcement), Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**NOTIFICATION PROCEDURE:**

The Director of the Bureau of Alcohol, Tobacco and Firearms has exempted this system of records from compliance

with the provisions of 5 U.S.C. 552a (e)(4)(G).

**RECORD ACCESS PROCEDURES:**

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a (e)(4)(H).

**CONTESTING RECORD PROCEDURES:**

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a (e)(4)(H).

**RECORD SOURCE CATEGORIES:**

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a (e)(4)(I).

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

Exempt under 5 U.S.C. 552a (j) and 31 CFR 1.36.

**Treasury/ATF .005**

**SYSTEM NAME:**

Freedom of Information Requests—Treasury/ATF.

**SYSTEM LOCATION:**

Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Individuals who are requesting information.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Correspondence pursuant to the Freedom of Information Act, internal processing documents and memoranda, referrals and copies of requested records, and Chief Counsel and Regional Counsel memoranda and opinions.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Freedom of Information Act, 5 U.S.C. 552.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

These records and information in these records may be used to: (1) Disclose information to other agencies when required for coordination of response or referral; (2) disclose information to the Department of Justice for defending law suits; (3) provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

File folders.

**RETRIEVABILITY:**

By name of requester(s) and date of request.

**SAFEGUARDS:**

Filed in filing cabinet and released only to individuals with legitimate right to review.

**RETENTION AND DISPOSAL:**

In accordance with the provisions of the Act and Departmental records management procedures.

**SYSTEM MANAGER(S) AND ADDRESS:**

Chief, Disclosure Branch, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**NOTIFICATION PROCEDURE:**

See System manager.

**RECORD ACCESS PROCEDURES:**

See System manager.

**CONTESTING RECORD PROCEDURES:**

See System manager.

**RECORD SOURCE CATEGORIES:**

Individuals who make Freedom of Information Act requests. Federal officials responding to Freedom of Information Act requests and documents from official records.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**Treasury/ATF .006**

**SYSTEM NAME:**

Internal Security Record System—Treasury/ATF.

**SYSTEM LOCATION:**

Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(1) Present employees of the Bureau of ATF. (2) Former employees of the Bureau of ATF. (3) Applicants for employment. (4) Non-Bureau employees involved in criminal acts toward Bureau employees and Bureau property. (5) Individuals who were interviewed by Internal Affairs Special Agents. (6) Contract employees involved in integrity matters.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

(1) Records containing investigative material compiled for law enforcement

purposes including reports relating to: (a) Conduct of employees and contract employees. (b) Integrity of employees. (2) Records containing investigative material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment or access to classified information including reports relating to security clearances of employees.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

18 U.S.C. 201, Executive Order 10450, Executive Order 11222.

**PURPOSE(S):**

This system is used to assure the Bureau Director, the Department of the Treasury, and the public that the Bureau is taking strong and vigorous steps to maintain the highest standards of integrity, loyalty, conduct, and security among Bureau personnel and contract employees. When a criminal investigation results in a compilation of information contained in this system, the information so compiled shall be transferred to the ATF Criminal Investigation Report System and shall become a part of that system for all purposes of the Privacy Act of 1974.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

A record in this system may be disclosed as a routine use to: (1) Employees of other government agencies when required or authorized to be released by statute, regulations or Executive Order; (2) third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation; (3) appropriate Federal, state, local and foreign agencies for the purpose of enforcing and investigating administrative, civil or criminal law relating to the hiring or retention of an employee; issuance of a security clearance, license, contract, grant or other benefit; (4) a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of or in preparation for civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (5) appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or

regulation; (6) a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (7) unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114; (8) provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Active records stored in file folders in security filing cabinets and computer system (hard disk). Inactive records stored in file folders at Federal Records Center.

**RETRIEVABILITY:**

Records are retrievable by name.

**SAFEGUARDS:**

Direct access restricted to personnel in Department of the Treasury in the performance of their duty. Transmitted to routine users on a "need to know" basis and to others upon verification of the substance and propriety of the request. Stored in lockable metal file cabinets in rooms locked during non-duty hours.

**RETENTION AND DISPOSAL:**

Records are retained in accordance with General Records Schedules Numbers 1 through 20 issued by the National Archives and Records Administration, and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding or burning.

**SYSTEM MANAGER(S) AND ADDRESS:**

Assistant Director (Office of Inspection), Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**NOTIFICATION PROCEDURE:**

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a (e)(4)(G).

**RECORD ACCESS PROCEDURES:**

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a (e)(4)(H).

**CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

(1) Employees of this Bureau; (2) Internal Investigative report forms; (3) Witnesses; (4) Informants; (5) Federal, state and local enforcement agencies; (6) Employers; (7) Educational institutions; (8) Credit agencies; (9) Neighbors; (10) References; (11) Professional Organizations; (12) Other government agencies; (13) Claimants; (14) Victims.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

Portions exempt under 5 U.S.C. 552a (k) (relating to security clearances) and 5 U.S.C. 552a (k)(2) (relating to conduct and integrity) and 31 CFR 1.36.

**Treasury/ATF .007**

**SYSTEM NAME:**

Personnel Record System—Treasury/ATF.

**SYSTEM LOCATION:**

Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226. Components of this record system are geographically dispersed throughout the Bureau's field offices. A list of field offices is available by writing to the Chief, Disclosure Branch, Room 8290, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(1) Present Employees of the Bureau of ATF. (2) Former Employees of the Bureau of ATF. (3) Applicants for employment with ATF.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

(1) Allotment and Dues. (2) Annual Tax Reports. (3) Applicants for employment. (4) Applications for reassignment. (5) Awards, honors, and fellowship records. (6) Classification appeal records. (7) Death claim records. (8) Educational history. (9) Employee indebtedness records. (10) Employees qualified as Grievance Examiners. (11) Employee Suggestions. (12) Employee history. (13) Employee relations case file. (14) Equal employment opportunity case file. (15) Health maintenance records. (16) Insurance records. (17) Military history. (18) Occupational injuries, disabilities, and Worker's Compensation Records. (19) Official personnel folder. (20) Outside employment and identification numbers, business or professional records. (21) Outside employment. (22) Outside financial interests. (23) Overtime and/or Premium Pay records. (24) Performance evaluation records. (25) Personal history. (26) Position description records. (27) Promotion/Selection Certificates Records. (28)

Property custody records. (29) Retirement records. (30) Records of security clearance. (31) Statement of career goals. (32) Supervisory or managerial potential records. (33) Temporary assignments and details. (34) Time application reports and records. (35) Training record. (36) U.S. Savings Bond participation records. (37) Upward mobility applications. (38) Vehicle accidents. (39) Withholding tax records. (40) Work schedule records. (41) Chief Counsel and Regional Counsel memoranda and opinions.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

(1) 5 U.S.C. Chapter 29, Subchapter II. (2) 5 U.S.C. Chapters 31 and 33. (3) 5 U.S.C. Chapter 43. (4) 5 U.S.C. Chapter 45. (5) 5 U.S.C. Chapter 51. (6) 5 U.S.C. Chapter 55, subchapter III. (7) 5 U.S.C. Chapter 61. (8) 5 U.S.C. Chapter 75. (9) 5 U.S.C. Chapter 83. (10) 5 U.S.C. Section 301. (11) 5 U.S.C. 4503. (12) 5 U.S.C. Section 5101 – 5115. (13) 5 U.S.C. Section 7151 – 7154. (14) 5 U.S.C. Section 7901. (15) Public Law 92 – 261 (Equal Employment Act of 1972). (16) Pub. L. 93 – 579. (Federal Employees Compensation Act). (17) Occupational Safety and Health Act of 1970. (18) Executive Order 10561. (19) Executive Order 11222. (20) Executive Order 11478. (21) Executive Order 11491.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

A record in this system may be disclosed as a routine use to: (1) Employees of government agencies when required or authorized to be released by statute, regulations or Executive Order; (2) any third party, to the extent necessary, to collect relevant information from the third party, provided that the information is needed by the Bureau to render a decision in regard to a personal matter; (3) appropriate Federal, state, local or foreign agencies responsible for enforcing administrative, civil, or criminal laws; hiring or retention of an employee; issuance of a security clearance, license, contract, grant or other benefit; (4) a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of or in preparation for civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (5) unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114; (6) a

congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (8) provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Active records stored in file folders in security filing cabinets. Inactive records stored in file folders at Federal Records Centers. Records also stored on magnetic tape at the IRS Data Center, Detroit, MI. Records are stored in on-line mass computer storage at San Diego, CA (Treasury Enforcement Communications System).

**RETRIEVABILITY:**

Records are retrievable by name, date of birth, social security number, employee identification number, or a combination of any of these four.

**SAFEGUARDS:**

Direct access restricted to personnel in Department of Treasury in the performance of their duty. Transmitted to routine users on a "need to know" basis or where "a right to access" is established, and to others upon verification of the substance and propriety of the request. Stored in lockable file cabinets in rooms locked during non-duty hours.

**RETENTION AND DISPOSAL:**

Records are retained in accordance with General Records Schedules numbers 1 through 23 issued by the National Archives and Records Administration, and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding, burning or by degaussing.

**SYSTEM MANAGER(S) AND ADDRESS:**

Assistant Director (Management)/ Chief Financial Officer, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**NOTIFICATION PROCEDURE:**

The Director of the Bureau of Alcohol, Tobacco and Firearms has exempted this system of records from compliance with the provisions of 5 U.S.C. 552a (e)(4)(G).

**RECORD ACCESS PROCEDURES:**

The Director of the Bureau of Alcohol, Tobacco and Firearms has exempted this system of records from compliance

with the provisions of 5 U.S.C. 552a (e)(4)(H).

**CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

(1) Administrative Records. (2) Applicants for employment with the Bureau. (3) Acquaintances. (4) Business and professional associates. (5) Creditors. (6) Criminal records. (7) Educational Institutions attended. (8) Employee records. (9) Equal Employment Opportunity Commission. (10) Financial institutions. (11) Fiscal records. (12) Former employees. (13) Former employers. (14) Inspection records. (15) Internal investigation reports. (16) Internal Revenue Service. (17) Military records. (18) Outside employers. (19) Physicians. (20) Police reports. (21) Position classification specialists. (22) Psychiatrists. (23) References. (24) Supervisors. (25) Training officers. (26) Unions, accredited. (27) Office of Personnel Management. (28) Witnesses.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

Exempt under 5 U.S.C. 552a (k) and 31 CFR 1.36.

**Treasury/ATF .008**

**SYSTEM NAME:**

Regulatory Enforcement Record System—Treasury/ATF.

**SYSTEM LOCATION:**

Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226. Components of this system of records are also geographically dispersed throughout ATF's district and field offices. A list of field offices is available by writing to the Chief, Disclosure Branch, Room 8290, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(1) Individuals who have been issued permits or licenses, have filed applications with ATF, or have registered with ATF as: (a) Brewers; (b) Claimants for refund, abatement, credit, allowance or drawback of excise or special occupational taxes; (c) Collectors of firearms or ammunition; (d) Importers of firearms or ammunition, and (e) Users of explosive materials.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records containing investigative material compiled for law enforcement purposes which may consist of the following: (1) Abstracts of offers in compromise. (2) Administrative law

judge decisions. (3) Assessment records: (a) Notices of proposed assessments. (b) notices of shortages or losses. (c) notices to IRS to assess taxes. (d) recommendation for assessments. (4) Claim records: (a) claims. (b) letters of claim rejection. (c) sample reports. (d) supporting data. (e) vouchers and schedules of payment. (5) Comments on proposed rulemakings. (6) Complaints from third parties. (7) Correspondence concerning records in this system and related matters. (8) Financial statements. (9) Inspection and investigation reports. (10) Joint demands on principals and sureties for payment of excise tax liabilities. (11) Letters of reprimand. (12) Lists of permittees and licensees. (13) Lists of officers, directors and principal stockholders. (14) Mailing lists and addressograph plates. (15) Notices of delinquent reports. (16) Offers in compromise. (17) Operation records: (a) operating reports. (b) reports of required inventories. (c) reports of thefts or losses of firearms – who maintains records. (d) reports of thefts of explosive materials – who maintains records. (e) transaction records. (f) transaction reports. (18) Orders of revocation, suspension or annulment of permits or licenses. (19) District and Chief Counsel opinions and memoranda. (20) Reports of violations. (21) Permit status records. (22) Qualifying records: (a) access authorizations. (b) advertisement records. (c) applications. (d) bonds. (e) business histories. (f) criminal records. (g) diagrams of premises. (h) educational histories. (i) employment histories. (j) environmental records. (k) financial data. (l) formula approvals. (m) label approvals. (n) licenses. (o) notices. (p) permits. (q) personal references. (r) plant profiles. (s) plant capacities. (t) plats and plans. (u) registrations. (v) sample reports. (w) signature authorities. (x) special permissions and authorizations. (y) statements of process. (23) Show cause orders. (24) Tax records: (a) control cards relating to periodic payment and prepayment of taxes. (b) excise and special tax returns. (c) notices of tax discrepancy or adjustment.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

(1) 26 U.S.C. 5172. (2) 26 U.S.C. 5271 (b)(1). (3) 26 U.S.C. 5356. (4) 26 U.S.C. 5401. (5) 26 U.S.C. 5417. (6) 26 U.S.C. 5502 (b). (7) 26 U.S.C. 5511 (3). (8) 26 U.S.C. 5521 (a). (9) 26 U.S.C. 5179 (a). (10) 22 U.S.C. 204 (c). (11) 26 U.S.C. 5105. (12) 26 U.S.C. 5275. (13) 26 U.S.C. 5301 (b). (14) 26 U.S.C. 5132. (15) 26 U.S.C. 5042 (a)(2). (16) 26 U.S.C. 7011. (17) 26 U.S.C. 5712. (18) 18 U.S.C. 923 (a). (19) 18 U.S.C. 923 (b). (20) 18 U.S.C. 843 (a). (21) 22 U.S.C. 414. (22) 26

U.S.C. 4401 (a). (23) 26 U.S.C. 6001. (24) 26 U.S.C. 6011 (a). (25) 26 U.S.C. 5001. (26) 26 U.S.C. 5021 – 5023. (27) 26 U.S.C. 5041. (28) 26 U.S.C. 5051. (29) 26 U.S.C. 6201. (30) 26 U.S.C. 5008. (31) 26 U.S.C. 5044. (32) 26 U.S.C. 5056. (33) 26 U.S.C. 5705. (34) 26 U.S.C. 6423 (b). (35) 26 U.S.C. 5009 (a). (36) 26 U.S.C. 5006 (a). (37) 26 U.S.C. 5055. (38) 26 U.S.C. 5062 (c). (39) 26 U.S.C. 5106. (40) 26 U.S.C. 5131 (c). (41) 26 U.S.C. 5064. (42) 26 U.S.C. 7122. (43) 27 U.S.C. 207. (44) 18 U.S.C. 843 (d). (45) 18 U.S.C. 923 (f). (46) 27 U.S.C. 204 (e). (47) 26 U.S.C. 5312 (a). (48) 26 U.S.C. 5042 (a)(3). (49) Reorganization Act of 1949, 5 U.S.C. Sections 901 *et seq.*; Revenue Act of 1951, Section 616; Treasury Department Order 221 (37 F.R. 11696, dated June 19, 1972). (50) 5 U.S.C. 301. (51) 26 U.S.C. 5181.

#### **PURPOSE(S):**

The purpose of this system is to determine suitability, eligibility or qualifications of individuals who are engaged or propose to engage in activities regulated by ATF; achieve compliance with laws under ATF's jurisdiction; assure full collection of revenue due from legal industries; eliminate commercial bribery, consumer deception and other improper trade practices in the distilled spirits, beer and wine industries; interact with Federal, state and local governmental agencies in the resolution of problems relating to industrial development, revenue protection, public health, ecology, and other areas of joint jurisdictional concern. When a criminal investigation results a compilation of information contained in this system of records, the information shall be transferred to the Treasury ATF – Criminal Investigation Report System and shall become part of that system for all purposes of the Privacy Act of 1974.

#### **ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

A record in this system may be disclosed as a routine use to: (1) Employees of other governmental agencies when required or authorized to be released by statute, regulations or Executive Order; (2) any third party to the extent necessary to collect or verify information pertinent to the Bureau's decision to grant, deny or revoke a license or permit; to initiate or complete an investigation of violations or alleged violations of laws and regulations administered by the Bureau; (3) appropriate Federal, state, local or foreign agencies for the purpose of enforcing administrative, civil or criminal laws; hiring or retention of an

employee; issuance of a security clearance, license, contract, grant or other benefit; (4) a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of or in preparation for civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (5) INTERPOL and similar national and international intelligence gathering organizations for the purpose of identifying international and national criminals involved in consumer fraud, revenue evasion or crimes; (6) foreign governments in accordance with formal or informal international agreements; (7) appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (8) a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (10) provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

#### **POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, DISPOSING OF RECORDS IN THE SYSTEM:**

##### **STORAGE:**

Active records stored in file folders in filing cabinets; card forms in card filing cabinets; and on magnetic tapes or microfiche at ATF Headquarters, or Department of the Treasury.

##### **RETRIEVABILITY:**

Records are retrievable by name, permit or license number, by document locator number, or by employer Identification Number (EIN).

##### **SAFEGUARDS:**

Direct access restricted to personnel in the Department of Treasury in the performance of their duty. Transmitted to routine users on a "need to know" basis and others upon verification of the substance and propriety of the request. Stored in file cabinets in rooms locked during non-duty hours.

##### **RETENTION AND DISPOSAL:**

Records are retained in accordance with General Records Schedules numbers 1 through 20 issued by the National Archives and Records

Administration, and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding, burning or by degaussing.

#### **SYSTEM MANAGER(S) AND ADDRESS:**

Deputy Associate Director (Regulatory Enforcement), Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

#### **NOTIFICATION PROCEDURE:**

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a (e)(4)(G).

#### **RECORD ACCESS PROCEDURES:**

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a (e)(4)(H).

#### **CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

#### **RECORD SOURCE CATEGORIES:**

(1) Acquaintances. (2) Bureau Personnel. (3) Business and Professional Associates. (4) Creditors. (5) Criminal Records. (6) Financial Institutions. (7) Former Employers. (8) Internal Revenue Service. (9) Military Records. (10) Physicians. (11) Psychiatrists. (12) References. (13) Police Reports. (14) Witnesses. (15) Federal Law Enforcement Agencies. (16) State Law Enforcement Agencies. (17) Local Law Enforcement Agencies. (18) State Regulatory Agencies. (19) Federal Regulatory Agencies. (20) Local Regulatory Agencies. (21) Chief Counsel's Opinions. (22) Regional Counsel's Opinions. (23) Chief Counsel's Memoranda. (24) Regional Counsel's Memoranda. (25) Field Investigation Reports. (26) Third Parties.

#### **EXEMPTIONS CLAIMED FOR THE SYSTEM:**

Exempt under 5 U.S.C. 552a (k)(2) and 31 CFR 1.36.

#### **Treasury/ATF .009**

#### **SYSTEM NAME:**

Technical and Scientific Services Record System—Treasury/ATF.

#### **SYSTEM LOCATION:**

Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226. Components of this record system are geographically dispersed throughout Bureau of Alcohol, Tobacco and Firearms' field offices. A list of field

offices is available by writing to the Chief, Disclosure Branch, Room 8290, 650 Pennsylvania Avenue, NW, Washington, DC 20226.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(1) Applicants to register firearms under the National Firearms Act. (2) Applicants for Surplus Military Firearms under the Director of Civilian Marksmanship Program. (3) Importers of implements of war as defined under the Mutual Security Act of 1954 and the Arms Export Control Act of 1976. (4) Licensed importers registered under the Mutual Security Act of 1954 and the Arms Export Control Act of 1976. (5) Manufacturers of National Firearms Act who are exempt from payment of Special (Occupational) tax provisions. (6) Non-Bureau chemists certified to make analysis of alcoholic beverages. (7) Persons involved in explosives tagging and detection program. (8) Registered owners of National Firearms Act firearms. (9) Special (Occupational) taxpayers as defined under Title II of the Gun Control Act of 1968. (10) Victims of explosives. (11) Individuals involved in Government funded research projects.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

(1) Alterations of registered National Firearms Act firearms. (2) Applications for surplus military firearms. (3) Applications to register firearms and destructive devices under the National Firearms Act. (4) Applications to import articles on the United States Munitions list. (5) Blueprints. (6) Certifications of payment of Special (occupational) tax payments. (7) Changes of address for owner of firearms registered under the National Firearms Act. (8) Claims for erroneous Special (Occupational) taxes payments. (9) Descriptions of Inventions. (10) Delinquency notices regarding proof of importation of National Firearms Act Firearms. (11) Explosive reports. (12) Non-Bureau chemists' statements of qualification. (13) Patent information. (14) Registrations of firearms and destructive devices under the National Firearms Act. (15) Registration of war trophy firearms. (16) Requests and authorizations for temporary movement and/or temporary storage of National Firearms Act firearms. (17) Technical and scientific data. (18) Transaction records concerning National Firearms Act firearms. (19) Trade secrets. (20) United States Government contracts to manufacturers of National Firearms Act firearms. (21) Chief Counsel and Regional Counsel memoranda and opinions.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

(1) 18 U.S.C. Chapter 40; (2) 18 U.S.C. Chapter 44; (3) 18 U.S.C. Section 3056; (4) 26 U.S.C. Sections 6001 (a), 5001, 5008, 5009 (a), 5006 (a), 5021 – 5023, 5041, 5042 (a)(2), 5051, 5053, 5056, 5062 (c), 5705, 6201, 6423 (b), 5105, 5106, 5131(c), 5132, 5172, 5172 (b)(1), 5275, 5301 (b), 5356, 5401, 5417, 5502 (b), 5511 (3), 5521 (a), 5179 (a), 5712, 7011; (5) 27 U.S.C. Sections 204 (c); (6) 26 U.S.C. Chapter 35; (7) Executive Order 10973, as amended by Executive Order 11432.

**PURPOSE(S):**

The purpose of this system is to provide technical and scientific support and expertise to Criminal and Regulatory Enforcement activities of the Bureau; to other Federal, state, local and foreign law enforcement agencies; and to industries involved in activities regulated by the Bureau. When a criminal investigation results in a compilation of information contained in this system, the information so compiled shall be transferred to the ATF Criminal Investigation Report System and shall become a part of that system for all purposes of the Privacy Act of 1974.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

A record in this system may be disclosed as a routine use to: (1) Employees of other governmental agencies when required or authorized to be released by statute, regulations or Executive Order; (2) any third party to the extent necessary to collect or verify information pertinent to the Bureau's decision to grant, deny or revoke a license or permit; to initiate or complete an investigation of violations or alleged violations of laws and regulations administered by the Bureau; (3) appropriate Federal, state, local or foreign agencies, for the purpose of enforcing administrative, civil, criminal laws; hiring or retention of an employee; issuance of a security clearance, license, contract, grant or other benefit; (4) a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (5) INTERPOL and similar national and international intelligence gathering organizations for the purpose of identifying international and national criminals involved in consumer fraud, revenue evasion or crimes; (6) foreign

governments in accordance with formal or informal international agreements; (7) appropriate Federal, state, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (8) insurance companies making determinations regarding claims in cases that the Bureau has conducted or is conducting in an arson investigation; (9) a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (10) provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Active records stored in file folders in filing cabinets; on 3 x 5 and 5 x 8 cards stored in card file cabinets; on microfilm reels; magnetic tape reels and discs.

**RETRIEVABILITY:**

Records are retrievable by name, by unique identifier, control number, serial number of National Firearms Act firearms.

**SAFEGUARDS:**

Stored in file cabinets locked during non-duty hours.

**RETENTION AND DISPOSAL:**

Records are retained in accordance with General Records Schedules numbers 1 through 20 issued by the National Archives and Records Administration, and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding or burning. Records stored on tape discs or on-line mass storage are disposed of by degaussing.

**SYSTEM MANAGER(S) AND ADDRESS:**

Deputy Associate Director (Regulatory Enforcement Programs), Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**NOTIFICATION PROCEDURE:**

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from



compliance with the provisions of U.S.C. 552a (e)(4)(G).

**RECORD ACCESS PROCEDURES:**

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a (e)(4)(H).

**CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

(1) Individuals. (2) Companies. (3) Corporations. (4) Firearms Licensees. (5) Explosive Licensees. (6) Explosive Permittees. (7) Bureau personnel. (8) Federal law enforcement agencies. (9) State law enforcement agencies. (10) Local law enforcement agencies. (11) Foreign law enforcement agencies. (12) Federal Regulatory agencies. (13) State Regulatory agencies. (14) Local Regulatory agencies. (15) Non-Bureau Chemists.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

Exempt under 5 U.S.C. 552a (k)(2) and 31 CFR 1.36.

Billing code: 4810-31-F

Comptroller of the Currency

Treasury/Comptroller .004

**SYSTEM NAME:**

Consumer Complaint and Inquiry Information System (CCIS)—Treasury/Comptroller.

**SYSTEM LOCATION:**

Office of the Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219. Components of the CCIS are geographically dispersed through— out six (6) district offices. (See addresses listed in Appendix of OCC District Offices.)

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Persons who file complaints against banks either directly or through second parties, e.g. attorneys, Congressional representatives or others who make inquiries about banks or banking issues.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

The records are maintained in three general categories: Correspondence; computer tapes; and hard copies of computer generated reports. Data contained in these records are: The name and address of the writer or their representative; the name and charter number of bank; the date of incoming letter; the date letter received by the OCC; numerical codes identifying the

nature of the complaint, the source of the complaint, and the type of resolution; identification of the district and the person assigned to examine the complaint; the resolution date; and, if appropriate, the amount of reimbursement.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

12 U.S.C. 1, et.seq., 5 U.S.C. 301, 15 U.S.C. 41 et.seq.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

Hard copy computerized reports are used to monitor the system, provide data for the Annual Report to Congress and inquiries from other agencies, public and private. Redacted copies of the files may be used in response to Congressional inquiries on specific subjects.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Records in active use are stored in file cabinets in the processing offices. Resolved complaints and inquiries are stored in the office having primary responsibility for the bank, generally the field office. Complaints regarding banks with over one billion dollars in assets are stored in the appropriate district office. Complaints which appeal the district office's resolution and complaints and inquiries received from Congressional sources are stored in Central Files in the Washington Office or in the Congressional Liaison office. Active computer tapes are secured in the Information Systems and Technology Division and the computerized reports are stored in file cabinets.

**RETRIEVABILITY:**

Correspondence records are retrieved from the appropriate office using the bank and complainant's or Congressman's or Senator's name. Other records are retrieved using the complainant's or inquirer's name or the identification number assigned to the correspondence.

**SAFEGUARDS:**

Access to locations where active complaint and inquiry files are located is controlled. Computer tapes are also located in a controlled access location. Inactive files are located in locked file rooms.

**RETENTION AND DISPOSAL:**

(a) Consumer complaint correspondence generating administrative action is part of the

permanent bank record set that is retained at OCC for three calendar years, then transferred to Washington National Records Center (WNRC) and offered to National Archives and Records Administration when 30 years old. (b) Consumer complaints and inquiries of a routine nature are held for two years, then may be transferred to WNRC, and destroyed when five years old. (c) Computer tapes and one record copy of reports are retained in OCC for three years, then transferred to WNRC, and offered to NARA when 20 years old.

**SYSTEM MANAGER(S) AND ADDRESS:**

Compliance Management, Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219.

**NOTIFICATION PROCEDURE:**

Individuals who wish to be notified if they are named in the system or to gain access to records maintained in the system may write or call the Director of Compliance Management to obtain this information. They must provide their name, address, name of subject bank, complaint identification number, if available, and the approximate date. The requesting individual will only be provided an affirmative or negative answer. If additional information is requested, procedures under access must be followed.

**RECORD ACCESS PROCEDURES:**

Access to a record can be requested by writing to the Disclosure Officer, Communications Division, Office of the Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219.

**CONTESTING RECORD PROCEDURES:**

Decisions by the district offices can be appealed to the Director of Compliance Management. Such an appeal is the final level of administrative action available to persons filing complaints.

**RECORD SOURCE CATEGORIES:**

The initial source is from the person filing a complaint against a national bank or the person making an inquiry about a bank or banking issue. Subsequent sources are from bank correspondence, bank files, or from reports based on on-site investigations.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

Treasury/Comptroller .012

**SYSTEM NAME:**

Freedom of Information Index and Log—Treasury/Comptroller.

**SYSTEM LOCATION:**

Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219.